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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/998,893	11/30/2001	Richard P. Sinn	21756-012800	4150

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EXAMINER

TESLOVICH, TAMARA

ART UNIT	PAPER NUMBER
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2137

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	01/04/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary

Application No.

09/998,893

Applicant(s)

SINN ET AL.

Examiner

Tamara Teslovich

Art Unit

2137

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 10/11/06.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1,3-14,16,18-25,27,29-36 and 38-52 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1,3-14,16,18-25,27,29-36 and 38-52 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

This office action is in response to the Applicant's Remarks and Amendments filed October 11, 2006.

Claims 2, 15, 17, 26, 28, and 37 are cancelled.

Claims 1, 3-14, 16, 18-25, 27, 29-36, and 38-52 are herein considered.

Response to Arguments

Applicant's arguments filed October 11, 2006 have been fully considered but they are not persuasive.

Applicant's arguments fail to comply with 37 CFR 1.111(b) because they amount to a general allegation that the claims define a patentable invention without specifically pointing out how the language of the claims patentably distinguishes them from the references. Applicant's response filed October 11, 2006 includes a recitation of limitations and claims, and a general allegation that Patel fails to disclose those limitations, but fails to respond to the Examiner's arguments from her two previous office actions dated July 17, 2006 and December 28, 2005. The Examiner would like to ask that the Applicant refer back to her rejections, pointing specifically to those sections of the reference and the claims which conflict.

Applicant's arguments do not comply with 37 CFR 1.111(c) because they do not clearly point out the patentable novelty which he or she thinks the claims present in view of the state of the art disclosed by the references cited or the objections made. Further, they do not show how the amendments avoid such references or objections.

Applicant's addition of 'an Identity System' to claims 1, 16, and 27 also fails to place the application in condition for allowance. The Examiner has referred back to the Applicant's specification in order to comprehend what is meant exactly by the phrase 'Identity System' for purposes of examination. The Examiner has chosen to rely upon paragraphs 10 and 11 of the specification, wherein it is stated:

"In general, an Identity System provides for the creation, removal, editing and other management of identity information stored in various types of data stores. The identity information pertains to users, groups, organizations and things. For each entry in the data store, a set of attributes is stored. For example, the attributes stored for a user **may include** a name, address, employee number, telephone number, email address, user ID and password. The Identity System **can** also manage access privileges that govern the subject matter an entity can view, create, modify or use in the Identity System. "

The Examiner would like to take a moment to note the use of the phrases 'in general', 'for example', 'may include' and 'can also'. These phrases serve to make the abovesited vague and indefinite, but seeing as the Examiner is unable to find a more definite definition of 'identity system', she has no choice but to rely upon it as a general guideline for 'identity system'. That being said, because the specification does not clearly lay out the specifications or requirements of an 'identity system', the addition of the phrase 'identity system' not only fails to further limit the claims, but renders them more vague and indefinite than the original version. It is for these reasons that the

Examiner has included within this rejection a set of 35 USC 112 rejections for claims 1, 3-14, 16, 18-25, 27, 29-36, and 38-52.

In view of the arguments previous, Examiner respectfully disagrees with the Applicant's argument that Patel fails to disclose Applicant's invention. As a result, the Examiner maintains the 35 U.S.C. 102(e) rejections as provided below and amended as per the Applicant's amendments.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1, 3-14, 16, 18-25, 27, 29-36, and 38-52 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Independent claims 1, 16, and 27 include the phrase 'identity system', a phrase that appears throughout the specification but fails to be defined. Because the phrase is not one commonly used, the Examiner is unsure of what Applicant means by 'identity system'.

Claims 1, 3-14, 16, 18-25, 27, 29-36, and 38-52 are rejected under 35 U.S.C. 112, second paragraph, as being incomplete for omitting essential elements, such omission amounting to a gap between the elements. See MPEP § 2172.01. Independent claims 1, 16, and 27 include the phrase 'identity system', a phrase that

appears throughout the specification but fails to be defined in terms of elements or components.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

Claims 1, 3-14, 16, 18-25, 27, 29-36, and 38-52 remain rejected under 35 U.S.C. 102(e) as being anticipated by Patel et al., U.S. Patent No. 6,438,690 B1.

As per **claim 1**, Patel discloses a method comprising the steps of:

(a) receiving at an Identity System a request for a certificate related action for a user; and (b) retrieving by the Identity System a workflow (policy) for responding to said request from a set of workflows (policies), wherein said set of workflows includes a plurality of workflows for responding to said certificate related action and wherein each workflow in said plurality of workflows corresponds to a different set of characteristics for a user (col.9 lines 14-22, 30-32) and wherein said workflow for responding to said request corresponds to said certificate related action and a set of characteristics (applicant registration information) for said user (col.4 line 65 thru col.5 line 14) from an identity profile maintained by the Identity System and including a user type.

As per **claim 3**, Patel discloses the method of claim 1, wherein a first workflow in said plurality of workflows contains a first set of directives and a second workflow in said plurality of workflows contains a second set of directives, wherein said first set of directives is different from said second set of directives (col.5 lines 39-43; col.9 lines 45-47).

As per **claim 4**, Patel discloses the method of claim 3, wherein said certificate related action certificate enrollment action, wherein said first workflow in said plurality of workflows calls for obtaining an approval before issuing a certificate and wherein said second workflow in said plurality of workflows does not call for obtaining an approval before issuing a certificate (col.7 lines 17-24).

As per **claim 5**, Patel discloses the method of claim 3, wherein said certificate related action certificate renewal action, wherein said first workflow in said plurality of workflows calls for retrieving an approval before renewing a certificate and wherein said second workflow in said plurality of workflows does not call for retrieving an approval before renewing a certificate (col.7 lines 17-24 reference "enrollment"; Fig 2 reference "Renew cert" within "Enrollment").

As per **claim 6**, Patel discloses the method of claim 3, wherein said certificate related action is a certificate revocation action (col.5 lines 39-42).

As per **claim 7**, Patel discloses the method of claim 3, further including the step of: receiving said plurality of workflows (col.7 lines 51-58).

As per **claim 8**, Patel discloses the method of claim 1, wherein said method further includes the step of: (d) performing said workflow, wherein said step (d) includes

the steps of: (1) retrieving an approval response; and (col.5 lines 15-20); (2) obtaining a certificate (col.5 lines 21-25).

As per **claim 9**, Patel discloses the method of claim 8, further including the steps of: (e) receiving a second request for a second certificate related action for a second user (col.6 lines 9-11; col.8 lines 51-53); (f) retrieving a second workflow for responding to said second request from said set of workflows, wherein said second workflow corresponds to said second certificate related action and a set of characteristics for said second user (col.7 lines 9-15); and (g) performing said second workflow, wherein said step (g) includes the step of: obtaining a second certificate without retrieving an approval response (col.7 lines 20-24) (col.9 lines 14-16; col.14 lines 42-44).

As per **claim 10**, Patel disclose the method of claim 9, wherein said certificate related action is a certificate enrollment action and said second certificate related action is a certificate enrollment action (col.9 lines 14-22).

As per **claim 11**, Patel discloses the method of claim 9, wherein said certificate related action is a certificate renewal action and said second certificate related action is a certificate renewal action (col.9 lines 14-22).

As per **claim 12**, Patel discloses the method of claim 1, further including the step of: (h) performing said workflow, wherein said certificate related action is a certificate enrollment action (col.4 lines 58-64) and wherein said step (h) includes the step of: (1) obtaining a certificate, wherein said step (h)(1) includes the steps of: (i) authenticating said user (col.5 lines 5-18); (ii) forwarding said request to a (Certificate Authority)

Certificate Processing Server (col.5 lines 15-20); (iii) receiving said certificate; and storing said certificate (col.5 lines 21-25).

As per **claim 13**, Patel discloses the method of claim 1, further including the step of: (j) performing said workflow, wherein said certificate related action is a certificate renewal action (col.8 lines 8-17) and wherein said step (j) includes the step of: (1) obtaining a certificate renewal, wherein said step (j)(1) includes the steps of: (i) authenticating said user (col.5 lines 5-18); (ii) forwarding said request to a Certificate Processing Server (col.5 lines 15-20); and (iii) receiving a certificate renewal acknowledgement (col.5 lines 21-25).

As per **claim 14**, Patel discloses the method of claim 1, further including the step of: (k) performing said workflow, wherein said certificate related action is a certificate revocation action (col.8 lines 8-17) and wherein said step (k) includes the step of: revoking a certificate, wherein said step (k)(1) includes the steps of: (i) authenticating said user (col.5 lines 5-18); and (ii) forwarding said request to a Certificate Processing Server (col.5 lines 15-20).

Claims 16, 18 and 19 are directed towards a system's implementation of the method of claims 1, 3 and 4 and are rejected by similar rationale.

Claim 20 is directed towards a system's implementation of the method of claim 7 and is rejected by similar rationale.

Claims 21 and 22 are directed towards a system's implementation of the method of claims 9 and 10 and are rejected by similar rationale.

Claims 23-25 are directed towards a system's implementation of the method of claims 12-14 and are rejected by similar rationale.

Claims 27, 29 and 30 are directed towards an apparatus' implementation of the method of claims 1, 3, and 4 and are rejected by similar rationale.

Claim 31 is directed towards an apparatus' implementation of the method of claim 7 and is rejected by similar rationale.

Claims 32 and 33 are directed towards an apparatus' implementation of the method of claims 9 and 10 and are rejected by similar rationale.

Claims 34-37 are directed towards an apparatus' implementation of the method of claims 12-15 and are rejected by similar rationale.

Claim 38 is directed towards the method of claim 2 and is rejected by similar rationale.

Claims 39, 40, and 42 are directed towards the method of claims 7, 9, and 15 and are rejected by similar rationale.

Claim 41 is directed towards a broader form of the method of claims 10 and 11 and is rejected by similar rationale.

Claim 43 is directed towards a system's implementation of the method of claim 2 and is rejected by similar rationale.

Claims 44, 45, and 47 are directed towards a system's implementation of the method of claims 7, 9, and 15 and are rejected by similar rationale.

Claim 46 is directed towards a broader form of a system's implementation of the method of claims 10 and 11 and is rejected by similar rationale.

Claim 48 is directed towards an apparatus's implementation of the method of claim 2 and is rejected by similar rationale.

Claims 49, 50, and 52 are directed towards an apparatus' implementation of the method of claims 7, 9, and 15 and are rejected by similar rationale.

Claim 51 is directed towards a broader form of an apparatus' implementation of the method of claims 10 and 11 and is rejected by similar rationale.

Conclusion

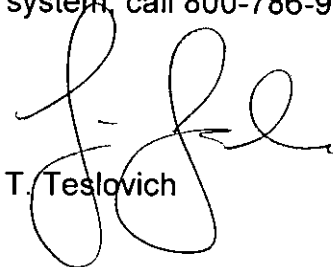
Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tamara Teslovich whose telephone number is (571) 272-4241. The examiner can normally be reached on Mon-Fri 8-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on (571) 272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



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